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Federal Agencies

October 28, 2003

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Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Re: U.S. Patent Application  
Appl. No. 10/625,701; Filed: July 24, 2003  
For: **Therapeutic Light Source and Method**  
Inventor: Colin Whitehurst  
Our Ref: 1487.0320001

Sir:

Transmitted herewith for appropriate action are the following documents:

1. Information Disclosure Statement;
2. Form PTO-1449 (6 pages), listing 85 documents and enclosing Ref. AM5; and
3. One (1) return postcard.

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier. In the event that extensions of time are necessary to prevent abandonment of this patent application, then such extensions of time are hereby petitioned. The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Michelle K. Holoubek  
Agent for Applicant  
Registration No. 54,179

PEG:MKH:jmh

::ODMA\MHODMA\SKGF\_DC1;192304;1  
SKGF Rev. 2/15/02 dcw; 4/18/03 svb



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Colin Whitehurst

Appl. No. 10/625,701

Filed: July 24, 2003

For: **Therapeutic Light Source and  
Method**

Confirmation No.

Art Unit: to be assigned

Examiner: to be assigned

Atty. Docket: 1487.0320001

### **Information Disclosure Statement**

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue. Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith.

Applicants have checked the appropriate boxes below.

- ☐ 1. Statement under 37 C.F.R. 1.704(d). Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this information disclosure statement.
- ☒ 2. Filing under 37 C.F.R. § 1.97(b). This Information Disclosure Statement is being filed within three months of the date of filing of a national application other than a continued prosecution application (CPA), OR within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application, OR before the mailing date of a first Office Action on the merits OR before the mailing of a first Office Action after the filing of a request for continued examination under 37 C.F.R. § 1.114. No statement or fee is required.
- ☐ 3. Filing under 37 C.F.R. § 1.97(c). This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection, or Notice of Allowance, or an action that otherwise closes prosecution in the application.
  - ☐ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to

the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).

- ☐ b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- ☐ c. Attached is our PTO-2038 Credit Card Payment Form **[OR]** Check No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(p).
- ☐ 4. Filing under 37 C.F.R. § 1.97(d) This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee. Attached is our PTO-2038 Credit Card Payment Form **[OR]** Check No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(p); in addition:
  - ☐ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
  - ☐ b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).

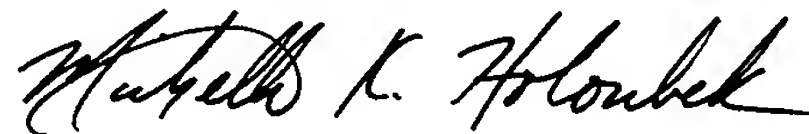
- ☐ 5. The document(s) was/were cited in a search report by a foreign patent office in a counterpart foreign application. Submission of an English language version of the search report that indicates the degree of relevance found by the foreign office is provided in satisfaction of the requirement for a concise explanation of relevance. 1138 OG 37, 38.
- ☐ 6. A concise explanation of the relevance of the non-English language document(s) appears below:
- ☒ 7. Copies of the documents, other than Ref. AM5, were cited by or submitted to the Office in an IDS that complies with 37 C.F.R. § 1.98(a)-(c) in Application No. 09/815,348, filed March 23, 2001, which is relied upon for an earlier filing date under 35 U.S.C. § 120. Thus, copies of these documents are not attached. 37 C.F.R. § 1.98(d).

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449, and indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Michelle K. Holoubek  
Agent for Applicant  
Registration No. 54,179

Date: 10/28/03

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(202) 371-2600



FORM PTO

## INFORMATION DISCLOSURE STATEMENT

ATTY. DOCKET NO.  
1487.0320001APPLICATION NO.  
10/625,701APPLICANT  
Whitehurst, ColinFILING DATE  
July 24, 2003GROUP  
3749

## U.S. PATENT DOCUMENTS

| EXAMINER<br>INITIAL |     | DOCUMENT<br>NUMBER | DATE    | NAME                         | CLASS | SUB-<br>CLASS | FILING DATE |
|---------------------|-----|--------------------|---------|------------------------------|-------|---------------|-------------|
|                     | AA1 | 4,822,335          | 04/1989 | Kawai <i>et al.</i>          |       |               |             |
|                     | AB1 | 4,930,504          | 06/1990 | Diamantopoulos <i>et al.</i> |       |               |             |
|                     | AC1 | 5,278,432          | 01/1994 | Ignatius <i>et al.</i>       |       |               |             |
|                     | AD1 | 5,304,207          | 04/1994 | Stromer                      |       |               |             |
|                     | AE1 | 5,358,503          | 10/1994 | Bertwell <i>et al.</i>       |       |               |             |
|                     | AF1 | 5,500,009          | 03/1996 | Mendes <i>et al.</i>         |       |               |             |
|                     | AG1 | 5,549,660          | 08/1996 | Mendes <i>et al.</i>         |       |               |             |
|                     | AH1 | 5,634,711          | 06/1997 | Kennedy <i>et al.</i>        |       |               |             |
|                     | AI1 | 5,660,461          | 08/1997 | Ignatius <i>et al.</i>       |       |               |             |
|                     | AJ1 | 5,702,432          | 12/1997 | Chen <i>et al.</i>           |       |               |             |
|                     | AK1 | 5,709,645          | 01/1998 | Siever                       |       |               |             |

## FOREIGN PATENT DOCUMENTS

| EXAMINER<br>INITIAL |     | DOCUMENT NUMBER | DATE    | COUNTRY | CLASS | SUB-<br>CLASS | TRANSLATION |
|---------------------|-----|-----------------|---------|---------|-------|---------------|-------------|
|                     | AL1 | 0 158 025 A1    | 10/1985 | EP      | A61N  | 5/06          | No          |
|                     | AM1 | 0 266 038 A2&A3 | 05/1988 | EP      | A61N  | 5/06          | N/A         |
|                     | AN1 | 0 320 080 A1    | 06/1989 | EP      | A61N  | 5/06          | N/A         |
|                     | AO1 | 0 860 179 A2&A3 | 08/1998 | EP      | A61N  | 5/06          | No          |
|                     | AP1 | 1 024 327 A1    | 08/2000 | EP      | F21V  | 33/00         | N/A         |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|  |    |          |  |
|--|----|----------|--|
|  | AR | <u>1</u> | English-language Abstract for EP 0 860 179 A2&A3, printed from DIALOG File 348: European Patents, 2 pages. |
|  | AS | <u>1</u> |  |
|  | AT | <u>1</u> |  |

EXAMINER

DATE CONSIDERED

**EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.





FORM PTO-1015

INFORMATION DISCLOSURE STATEMENTATTY. DOCKET NO.  
1487.0320001APPLICATION NO.  
10/625,701APPLICANT  
Whitehurst, ColinFILING DATE  
July 24, 2003GROUP  
3749**U.S. PATENT DOCUMENTS**

| EXAMINER<br>INITIAL |     | DOCUMENT<br>NUMBER | DATE    | NAME                   | CLASS | SUB-<br>CLASS | FILING DATE |
|---------------------|-----|--------------------|---------|------------------------|-------|---------------|-------------|
|                     | AA2 | 5,728,090          | 03/1998 | Martin <i>et al.</i>   |       |               |             |
|                     | AB2 | 5,766,233          | 06/1998 | Thiberg                |       |               |             |
|                     | AC2 | 5,775,339          | 07/1998 | Woodburn <i>et al.</i> |       |               |             |
|                     | AD2 | 5,800,478          | 09/1998 | Chen <i>et al.</i>     |       |               |             |
|                     | AE2 | 5,876,427          | 03/1999 | Chen <i>et al.</i>     |       |               |             |
|                     | AF2 | 5,944,748          | 08/1999 | Mager <i>et al.</i>    |       |               |             |
|                     | AG2 | 5,957,960          | 09/1999 | Chen <i>et al.</i>     |       |               |             |
|                     | AH2 | 5,968,033          | 10/1999 | Fuller <i>et al.</i>   |       |               |             |
|                     | AI2 | 5,989,283          | 11/1999 | Wilkins                |       |               |             |
|                     | AJ2 | 6,024,760          | 02/2000 | Marchesi               |       |               |             |
|                     | AK2 | 6,063,108          | 05/2000 | Salansky <i>et al.</i> |       |               |             |

**FOREIGN PATENT DOCUMENTS**

| EXAMINER<br>INITIAL |     | DOCUMENT NUMBER | DATE    | COUNTRY | CLASS | SUB-<br>CLASS | TRANSLATION |
|---------------------|-----|-----------------|---------|---------|-------|---------------|-------------|
|                     | AL2 | 2 287 652 A     | 09/1995 | GB      | A61N  | 5/06          | N/A         |
|                     | AM2 | 2 331 399 A     | 05/1999 | GB      | A61N  | 5/06          | N/A         |
|                     | AN2 | 2 356 570 A     | 05/2001 | GB      | A61N  | 5/06          | N/A         |
|                     | AO2 | 2 368 020 A     | 04/2002 | GB      | A61N  | 5/06          | N/A         |
|                     | AP2 | 2 370 229 A     | 06/2002 | GB      | A61N  | 5/06          | N/A         |

**OTHER (Including Author, Title, Date, Pertinent Pages, etc.)**

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|  | AR | <u>2</u> |  |
|  | AS | <u>2</u> |  |
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FORM PTO-1449

## INFORMATION DISCLOSURE STATEMENT

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1487.0320001APPLICATION NO.  
10/625,701APPLICANT  
Whitehurst, ColinFILING DATE  
July 24, 2003GROUP  
3749

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|---------------------|-----|--------------------|---------|--------------------------|-------|---------------|-------------|
|                     | AA3 | 6,074,382          | 06/2000 | Asah <i>et al.</i>       |       |               |             |
|                     | AB3 | 6,094,595          | 07/2000 | Takahashi <i>et al.</i>  |       |               |             |
|                     | AC3 | 6,107,466          | 08/2000 | Hasan <i>et al.</i>      |       |               |             |
|                     | AD3 | 6,143,287          | 11/2000 | Ben-Hur <i>et al.</i>    |       |               |             |
|                     | AE3 | 6,171,331 B1       | 01/2001 | Bagraev <i>et al.</i>    |       |               |             |
|                     | AF3 | 6,187,029 B1       | 02/2001 | Shapiro <i>et al.</i>    |       |               |             |
|                     | AG3 | 6,190,376 B1       | 02/2001 | Asah <i>et al.</i>       |       |               |             |
|                     | AH3 | 6,221,095 B1       | 04/2001 | Van Zuylen <i>et al.</i> |       |               | 07/15/1997  |
|                     | AI3 | 6,235,046 B1       | 05/2001 | Gerdt                    |       |               | 01/21/1999  |
|                     | AJ3 | 6,238,424 B1       | 05/2001 | Thiberg                  |       |               | 12/07/1998  |
|                     | AK3 | 6,238,425 B1       | 05/2001 | Thiberg                  |       |               | 12/07/1998  |

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|---------------------|-----|-----------------|---------|---------|-------|---------------|-------------|
|                     | AL3 | WO 93/09847 A1  | 05/1993 | PCT     | A61N  | 5/06          | No          |
|                     | AM3 | WO 93/21842 A1  | 11/1993 | PCT     | A61B  | 17/36         | N/A         |
|                     | AN3 | WO 95/19808 A1  | 07/1995 | PCT     | A61N  | 5/06          | No          |
|                     | AO3 | WO 95/26217 A1  | 10/1995 | PCT     | A61N  | 5/06          | N/A         |
|                     | AP3 | WO 98/07379 A1  | 02/1998 | PCT     | A61B  | 17/41         | N/A         |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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|  | AR | <u>3</u> |  |
|  | AS | <u>3</u> |  |
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FORM PTO-1449

## INFORMATION DISCLOSURE STATEMENT

ATTY. DOCKET NO.  
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|---------------------|-----|--------------------|---------|------------------------------|-------|---------------|-------------|
|                     | AA4 | 6,238,426 B1       | 05/2001 | Chen                         |       |               | 07/19/1999  |
|                     | AB4 | 6,249,698 B1       | 06/2001 | Parris                       |       |               | 06/11/1999  |
|                     | AC4 | 6,290,713 B1       | 09/2001 | Russell                      |       |               | 08/24/1999  |
|                     | AD4 | 6,306,160 B1       | 10/2001 | Nidetzky                     |       |               | 01/17/1996  |
|                     | AE4 | 6,383,177 B1       | 05/2002 | Balle-Petersen <i>et al.</i> |       |               | 12/13/1999  |
|                     | AF4 | 5,997,569          | 12/1999 | Chen <i>et al.</i>           |       |               |             |
|                     | AG4 | 5,913,883          | 06/1999 | Alexander <i>et al.</i>      |       |               |             |
|                     | AH4 | 4,740,707          | 04/1988 | Thaw                         |       |               |             |
|                     | AI4 | 5,601,619          | 02/1997 | Drechsler                    |       |               |             |
|                     | AJ4 | 5,409,482          | 04/1995 | Diamantopoulos               |       |               |             |
|                     | AK4 | 5,616,140          | 04/1997 | Prescott                     |       |               |             |

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| EXAMINER<br>INITIAL |     | DOCUMENT NUMBER | DATE    | COUNTRY | CLASS | SUB-<br>CLASS | TRANSLATION |
|---------------------|-----|-----------------|---------|---------|-------|---------------|-------------|
|                     | AL4 | WO 98/43703 A1  | 10/1998 | PCT     | A61N  | 5/06          | N/A         |
|                     | AM4 | WO 99/10046 A1  | 03/1999 | PCT     | A61N  | 5/00          | N/A         |
|                     | AN4 | WO 99/19024 A1  | 04/1999 | PCT     | A61N  | 5/06          | N/A         |
|                     | AO4 | WO 00/15296 A1  | 03/2000 | PCT     | A61N  | 5/00          | N/A         |
|                     | AP4 | WO 01/14012 A1  | 03/2001 | PCT     | A61N  | 5/06          | N/A         |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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|--|----|----------|--|
|  | AR | <u>4</u> |  |
|  | AS | <u>4</u> |  |
|  | AT | <u>4</u> |  |

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|---------------------|-----|--------------------|---------|-------------|-------|---------------|-------------|
|                     | AA5 | 6,183,500          | 02/2001 | Kohler      |       |               |             |
|                     | AB5 | 6,110,195          | 08/2000 | Xie et al.  |       |               |             |
|                     | AC5 | 6,269,818          | 08/2001 | Lui et al.  |       |               |             |
|                     | AD5 | 4,953,549          | 09/1990 | Mori        |       |               |             |
|                     | AE5 | 5,820,625          | 10/1998 | Izawa       |       |               |             |
|                     | AF5 | 4,974,922          | 12/1990 | Mori        |       |               |             |
|                     | AG5 | 5,814,008          | 09/1998 | Chen et al. |       |               |             |
|                     | AH5 | 4,761,047          | 09/1988 | Mori        |       |               |             |
|                     | AI5 | 4,335,724          | 06/1982 | Frei et al. |       |               |             |
|                     | AJ5 | 5,354,322          | 10/1994 | Miyano      |       |               |             |
|                     | AK5 | 6,096,066          | 08/2000 | Chen et al. |       |               |             |

## FOREIGN PATENT DOCUMENTS

| EXAMINER<br>INITIAL |     | DOCUMENT NUMBER | DATE    | COUNTRY | CLASS | SUB-<br>CLASS | TRANSLATION |
|---------------------|-----|-----------------|---------|---------|-------|---------------|-------------|
|                     | AL5 | WO 01/45795 A1  | 06/2001 | PCT     | A61N  | 5/06          | No          |
|                     | AM5 | WO 00/02491 A1  | 01/2000 | PCT     | A61B  | 17/36         | No          |
|                     | AN5 |                 |         |         |       |               | Yes<br>No   |
|                     | AO5 |                 |         |         |       |               | Yes<br>No   |
|                     | AP5 |                 |         |         |       |               | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|  |    |          |  |
|--|----|----------|--|
|  | AR | <u>5</u> |  |
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|---|----------------------------------|-------------------------------|
| FORM PTO-1449<br><br>INFORMATION DISCLOSURE STATEMENT | ATTY. DOCKET NO.<br>1487.0320001 | APPLICATION NO.<br>10/625,701 |
|   | APPLICANT<br>Whitehurst, Colin   |                               |
|   | FILING DATE<br>July 24, 2003     | GROUP<br>3749                 |

U.S. PATENT DOCUMENTS

| EXAMINER INITIAL |     | DOCUMENT NUMBER | DATE    | NAME             | CLASS | SUB-CLASS | FILING DATE |
|------------------|-----|-----------------|---------|------------------|-------|-----------|-------------|
|                  | AA6 | 5,957,959       | 09/1999 | Rissmaney et al. |       |           |             |
|                  | AB6 | 5,800,478       | 09/1998 | Chen et al.      |       |           |             |
|                  | AC6 | 4,907,132       | 03/1990 | Parker           |       |           |             |
|                  | AD6 | 6,402,774       | 06/2002 | Caldironi        |       |           |             |
|                  | AE6 | 5,944,748       | 08/1999 | Mager et al.     |       |           |             |
|                  | AF6 | 4,660,561       | 04/1987 | Nielsen          |       |           |             |
|                  | AG6 | 5,511,563       | 04/1996 | Diamond          |       |           |             |
|                  | AH6 |                 |         |                  |       |           |             |
|                  | AI6 |                 |         |                  |       |           |             |
|                  | AJ6 |                 |         |                  |       |           |             |
|                  | AK6 |                 |         |                  |       |           |             |

FOREIGN PATENT DOCUMENTS

| EXAMINER INITIAL |     | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|------------------|-----|-----------------|------|---------|-------|-----------|-------------|
|                  | AL6 |                 |      |         |       |           | Yes<br>No   |
|                  | AM6 |                 |      |         |       |           | Yes<br>No   |
|                  | AN6 |                 |      |         |       |           | Yes<br>No   |
|                  | AO6 |                 |      |         |       |           | Yes<br>No   |
|                  | AP6 |                 |      |         |       |           | Yes<br>No   |

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|  |    |          |  |
|--|----|----------|--|
|  | AR | <u>6</u> |  |
|  | AS | <u>6</u> |  |
|  | AT | <u>6</u> |  |

|          |                 |
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| EXAMINER | DATE CONSIDERED |
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.